



IT LAS VEGAS

STANDARD QUALITY PRACTICE

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TITLE: Occurrence Reporting & Processing System (ORPS)

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1.0 SCOPE AND OBJECTIVE

- 1.1 Scope - This procedure establishes a uniform system for reporting and processing information related to any occurrence involving ITLV personnel, facilities, equipment, programs, systems, and procedures. An occurrence is defined as any "event, incident, condition, situation," which meets the categorization criteria described in DOE Order 151.1, Comprehensive Emergency Management System, dated 10/26/95; DOE Order 232.1A, Occurrence Reporting and Processing of Operations Information, dated 8/1/97; and DOE M 232.1-1A, Occurrence Reporting and Processing of Operations Information Manual, dated 7/21/97. It is highly recommended that these orders be reviewed to fully understand the intent of this SQP.
- 1.2 Objectives - It is the policy of the DOE and ITLV to encourage a positive attitude toward reporting occurrences and that occurrences and daily field management information be consistently reported to assure that both the DOE and DOE contractor line management are kept fully and currently informed of all events and to define the responsibilities and procedures for the execution of the ITLV ORPS and Daily Field Management Reporting (DFMR).

2.0 DEFINITIONS

- 2.1 Daily Field Management Report - The DFMR is an exception report intended to give DOE Management a look at unique activities from the previous day. They must accompany all occurrence reports submitted. The DFMR is categorized by the FMR and generated by the ITLV FMD Representative.
- 2.2 Emergencies - Emergencies are declared at DOE sites and facilities when events represent a significant degradation in the level of safety and require urgent response efforts from outside the facility. Requirements for the initial and follow-up notifications to DOE and other agencies and the appropriate emergency responses to be taken are provided in DOE O 151.1, Comprehensive Emergency Management System, Health and Safety Plans, Site Specific Health and Safety Plans and this SQP.
- 2.3 Facility - This refers to the ITLV Office and subcontractor-related operations and field activities.

- 2.4 Nonemergency - It is a significant event that includes unusual occurrences that may result in a significant concern by the affected state, tribal, local officials, press, or general population or could damage the credibility of the DOE or result in inquiries to DOE/HQ.
- 2.5 Off-Normal - Abnormal or unplanned events or conditions that adversely affect, potentially affect, or are indicative of degradation in the safety, security, environmental or health protection performance or operation of a facility.
- 2.6 Occurrence Report - The documented evaluation of an event or condition prepared to enable the reader to assess its significance, consequences, or implications and to evaluate the actions being proposed to correct the condition or to avoid recurrence.
- 2.7 Occurrence Reporting and Processing System (ORPS) - This is the computerized system for submitting, collecting, transmitting, updating and signing occurrence reports.
- 2.8 Reportable Occurrences - It is an abnormal event or condition to be reported in accordance with the criteria defined in DOE M 232.1-1A.
- 2.9 Unusual Occurrence - It is a nonemergency that has significant impact or potential for impact on safety, environment, health, security, or operations.

3.0 RESPONSIBILITIES AND QUALIFICATIONS

- 3.1 General Manager (GM) - The GM has the overall responsibility for ensuring the ORPS functions in an effective manner. The GM ensures sufficient resources are allocated to prevent and/or limit the potential for recurrence of reportable incidents.
- 3.2 Facility Manager Representative (FMR) - The FMR assists the GM in the execution of the ORPS and is designated as the FMR for ITLV. The FMR shall be available at all times and is responsible for the initial categorization of all occurrences and has final approval authority for all ORPS reports and adequacy of corrective actions. This person has direct supervisory responsibility for ensuring the proper execution of the ORPS and, in conjunction with the GM, determines if a formal report is required.
- 3.3 Facility Manager Designee (FMD) - The FMD assists the GM and FMR and is responsible for report data input using the ORPS.

- 3.4 Quality Manager (QM) - The QM will review all ORPS reports for adequacy of the investigation and corrective actions.
- 3.5 ITLV Staff - All employees are responsible for complying with this procedure, including the recognition of events and conditions that might constitute a Reportable Occurrence.
- 3.6 Registered ORPS Users - The following personnel are authorized to access the ORPS database:

FACILITY MANAGER
General Manager

FACILITY MANAGER DESIGNEE
QA Specialist
Health & Safety Specialist
Security Specialist

4.0 MATERIAL/EQUIPMENT AND CALIBRATION

The ORPS database resides on a Hewlett Packard (HP) 3000 host computer located at the Idaho National Engineering Laboratory (INEL) in Idaho Falls, ID. The primary software for ITLV reporting is located on a personal computer in the Health & Safety and Quality Sections.

5.0 METHOD

The ORPS ensures appropriate and timely identification, categorization, response, notification, investigation, and reporting of abnormal conditions and events identified in DOE Order 151.1, Comprehensive Emergency Management System; DOE Order 232.1A, Occurrence Reporting and Processing of Operations Information; and DOE M 232.1-1A, Occurrence Reporting and Processing of Operations Information Manual.

5.1 Implementation Requirement

Upon discovery, identification or notification of an occurrence which appears to meet the reporting criteria, the following procedures will apply:

- 5.1.1 The individual identifying or receiving notification of an occurrence will, if appropriate, take immediate action to stabilize the occurrence.

- 5.1.2 Verbal notification of all emergencies and nonemergencies is to be made immediately to the DOE/NV Emergency Operations Center (EOC) who will in turn ensure notification to DOE/HQ, other federal agencies, and state, local, and tribal officials.

All verbal notifications are to be succinct, and provide the following information when available:

- 5.1.2.1 A description of the occurrence, including identifying injuries to personnel, environmental releases and/or personnel exposures, and protective actions implemented.
- 5.1.2.2 The location of the facility or incident and the time of occurrence.
- 5.1.2.3 An indication of whether the occurrence is over or is still in progress.
- 5.1.2.4 The name and call-back number of the person reporting the occurrence.
- 5.1.2.5 Have there been media inquiries or other public notifications?
- 5.1.2.6 Call the EOC back to confirm receipt of information. Contact at this level must be made to appropriate personnel and not (for example) to answering machines or other electronic devices.

NOTE: When information, including event categorization, being reported to DOE/NV EOC is not immediately available for the verbal notification, the caller should identify who has responsibility for making the categorization, what specific information is needed, and when the additional information is estimated to be available.

- 5.1.3 The following personnel shall be notified as appropriate:

IT NOTIFICATION & CATEGORIZATION

The ITLV Facility Manager Representatives (only) listed below will have available an IT Occurrence Report manual that contains all information needed for determination/categorization of occurrences. Sufficient data will need to be gathered which will be used to determine if a formal report to DOE is required. Based upon the information received a determination will be made if a formal report to DOE/NV is required.

ITLV FACILITY MANAGER REPRESENTATIVES NOTIFICATION & CATEGORIZATION

General Manager
Program Integration Manager
Health & Safety Manager
Security Manager

5.1.4 The following personnel shall be notified regarding their area of responsibility:

ITLV FACILITY REPRESENTATIVE NOTIFICATION Project Managers

DOE/NV FACILITY REPRESENTATIVE NOTIFICATIONS
Project Managers
Environmental Restoration Division (ERD) Health & Safety Manager
ERD Director

5.2 Categorization

5.2.1 Emergencies - These are the most serious occurrences and require an increased alert status for personnel. If the event is categorized as an emergency in accordance with DOE Order 151.1, Comprehensive Emergency Management System, then the notification of the emergency shall be made as required, and the written Occurrence Report will be prepared in accordance with the ORPS procedures. Ensure oral notification is given to the Emergency Operations Center (EOC) immediately at 702-295-1381 or 702-295-1422.

5.2.2 Nonemergency or Unusual Occurrence - The FMR will ensure the GM is notified. The FMR will ensure oral notification to the (EOC) is given immediately for nonemergency and unusual occurrences at 702-295-1381 or 702-295-1422. The DOE/NV Facility Representatives (FR) (listed below) will also be notified as required.

5.2.3 Off-Normal Occurrence - The FMR will ensure the GM is notified. The FMR will ensure oral notification is given to the (EOC) within two hours of categorization at 702-295-1381 or 702-295-1422.

Categorization Use - The 10 groups of categorized occurrences are as follows:

1. Facility Condition
2. Environmental
3. Personnel Safety
4. Personnel Radiological Protection
5. Safeguards and Security
6. Transportation
7. Value-Basis Reporting
8. Facility Status
9. Nuclear Explosive Safety
10. Cross-Category Items

5.3 Coordination - Before the close of the next business day from the time of categorization (not to exceed 80 hours), the FMD will ensure a Notification Report (generated with the ORPS software) is coordinated through the GM or FMR prior to distribution. The report must also be reviewed by an authorized derivative classifier prior to distribution. The name of the derivative classifier must be entered in the authorized classifier portion of the report. The report must be reviewed by the EOC for concurrence prior to automated submission.

5.3.1 Within 10 working days of categorization the FMD will ensure a 10-day and/or a 10-day/final report is prepared and submitted.

5.3.2 All Occurrences involving safety related issues will be coordinated with the IT Health and Safety Manager.

5.3.3 The implementation of the corrective action(s) will be tracked by the IT Program Quality Assurance organization in accordance with SQPs ITLV-0204, Deficiency Reporting and ITLV-0205, Nonconformances.

5.4 Examples of Occurrences:

- Serious malfunction of equipment or repeated malfunction of equipment
- Serious or disabling injury
- Employee exposed to toxic or radioactive material
- Any fire or explosion which threatens or affects the safety or reliability of IT facilities
- Any event that is significantly adverse to safety, health, or environment involving IT employees or facilities
- Vehicle accident resulting in damages in excess of \$5,000.00
- Any occupational injury/illness resulting in inpatient hospitalization

5.5 Daily Field Management Report (DFMR)

The DFMR is an exception report categorized by the FMR and generated by the ITLV FMD Representative. It is rolled-up and consolidated into a daily report submitted by DOE/NV to provide input to the U.S. Secretary of Energy's daily briefing. This briefing provides timely information on activities, issues, problems, accidents, etc., and allows for the development of historical trends in identified key areas. The Emergency Management Division (EMD), DOE/NV, has responsibility for the preparation and submission of the DFMR to DOE Headquarters. Within the EMD the EOC is the single point of contact for occurrence reporting and the DFMR. The DFMR is a consolidated report based upon input from other DOE/NV Divisions and contractor organizations.

5.5.1 Preparation Procedures

The reporting period for the DFMR starts at 6:00 a.m. on Monday through 1:00 p.m. on Friday. DFMRs must be submitted in hard copy to the EOC not later than 1:00 p.m. each day. (Note: When an Occurrence Report is submitted, a DFMR is required. However, some incidents may require a DFMR but do not meet the requirements for an Occurrence Report.) After information has been analyzed for reportability a DFMR is prepared. Contents of the DFMR will be reviewed and approved by the IT General Manager and the EOC prior to distribution.

5.5.2 Reporting Guidance Discussion

The DFMR does not take the place of other established reporting requirements. The task is to take a look at incidents that occur daily and then decide whether or not they would be of interest to the U.S. Secretary of Energy. Not all incidents will be reportable, however each will be reviewed to determine reporting potential.

There are some items beyond the scope of DOE Order 232.1 which, nevertheless, should be included in the DFMR.

5.5.3 Examples of Daily Field Management Reports:

- Activities/Operations: Any significant change in operational status
- Administration: Contract negotiations, personnel issues, layoffs, etc.
- Site Visits and Tours: Visits by VIPs to facilities and meetings with elected officials

6.0 **REQUIRED INSPECTION/ACCEPTANCE CRITERIA**

None

7.0 **RECORDS**

As appropriate, the following records may be generated as a result of this procedure and shall be maintained as quality records.

7.1 Notification Report

7.2 10-Day Report

7.3 Final Occurrence Report

7.4 Updated 10-Day Report, as applicable

7.5 Lessons Learned

8.0 REFERENCES

8.1 Requirements and Specifications

- 8.1.1 DOE Order 232.1A, Occurrence Reporting and Processing of Operations Information, dated 8/1/97.
- 8.1.2 DOE Manual 232.1-1A, Occurrence Reporting and Processing of Operations Information Manual, dated 7/21/97.
- 8.1.3 DOE Order 151.1, Comprehensive Emergency Management System, dated 10/26/95.
- 8.1.4 DOE/NV Memorandum, Reporting of Unusual Incidents to Management, dated 3/5/96.
- 8.1.5 DOE/NV Memorandum, Assessment of Safety and Emergency Operations, dated 9/17/97.

8.2 Related Procedures

- 8.2.1 SQP ITLV-0204, Deficiency Reporting.
- 8.2.2 SQP ITLV-0205, Nonconformances.

8.3 Others

None.

9.0 ATTACHMENTS

None.